

MARC Record Guide for Monograph Aggregator Vendors

**Prepared by the Program for Cooperative Cataloging
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1. Introduction

1.1 Audience

The primary audience for this guide is the community of publishers and vendors who make aggregations of monographs available to libraries. Frequently these aggregations are accompanied by bibliographic records for the monographs. . The purpose of this guide is to provide information for vendors to produce high quality MARC records sets acceptable to libraries.

1.2 Purpose

Librarians consider several factors when deciding to purchase a database. The most important consideration is the quality and relevance of the content for library users. The second factor librarians consider is how their users will actually use the database. They realize that user discovery is enhanced by accurate bibliographic descriptions for the individual monographs/books in a database. To enhance user discovery, many libraries choose to load MARC records into their local online catalogs. Vendors can add substantial value to the databases they sell by providing records for the individual titles in the databases.

Ideally bibliographic records should be created in MARC 21 format. Short of that, they should be created in a format that is easily convertible to MARC so that the records can be loaded into library catalogs. Most libraries endorse the “one stop shopping” for students and faculty that results when 1) all records reside in a single catalog and 2) all records display bibliographic information consistently. Another important consideration is interoperability--records should be created in such a way that they can be readily exchanged between libraries and bibliographic utilities if the license permits.

1.3. Scope

This guide includes references to resources that a vendor may wish to consult prior to undertaking a MARC record creation project. It does not attempt to provide detailed implementation guidelines for commercial ventures. Partnering with a knowledgeable professional cataloging librarian is recommended. The guide also

contains specifications for MARC records as recommended by the Program for Cooperative Cataloging (PCC). The PCC is an international cooperative program sponsored by the Library of Congress aimed at expanding access to library collections by providing standards for useful, timely, and cost-effective cataloging.

For basic knowledge about MARC records, the Library of Congress has also prepared an excellent guide to MARC bibliographic records:<http://www.loc.gov/marc/umb/um01to06.html>

2. Record Categories for E-books

The vendor should begin by determining which source for the description of an e-book will be used. “Source” in this context means the original content. Possible sources to describe an e-book include: “*born digital*”, a new *edition* of an existing publication, or a *reproduction* of an existing publication or manuscript.

2.1 Born Digital

An e-book is born digital if it has not existed previously in print or any other format. In some cases, the collection may consist of resources that exist in print but have never been published.

2.2 New Edition of a Print Publication

An e-book is a new edition of a print publication but the vendor has substantially altered it by addition, change, or subtraction of content. For example, an electronic edition of *Gone with the Wind* that includes film clips and other value added features and new commentary is a new edition.

2.3 Reproduction of an Existing Publication or Manuscript

An e-book is a reproduction of an existing publication or manuscript in another format by a mechanical process (not an intellectual process). The format and content of the original version are preserved. Examples of electronic reproductions are PDF files and scanned page images. One “cross-over” variety which can occur are databases consisting of titles that are SGML-encoded but manually keyed. Consultation with an experienced librarian in cases of doubt is recommended.

3. How are MARC Records Created?

There is no one single way to create a MARC record for a book. The method used will depend on the skills of the vendor’s staff and whether or not a library partner is involved in the process. Emphasis should be placed on a bibliographic description of the monograph is consistent, accurate, well-formed, and follows standard library practice as far as possible. The display of an author’s name, for example, must

follow the pattern of “Last Name, First Name” or names will not collocate properly in a library catalog.

3.1 MARC Records Created Directly in MARC 21 Format

The vendor may have the ability to create MARC records directly in MARC 21 format either by using a library cataloging system, through arrangement with a partner library (or third party subcontractor) or a bibliographic utility. For further information on how to format such records, see section 4 below.

3.2 Non-MARC Records Created Using Dublin Core

Dublin Core (DC) is a simple effective element set that is highly compatible with MARC 21. The Program for Cooperative Cataloging endorses DC for use by vendors for monographic material if it is not possible to work directly in MARC 21. A good introductory article may be found in the article, “From Cataloging to Metadata: Dublin Core Records for the Library Catalog,” by Anita Coleman, in *Cataloging & Classification Quarterly*, vol. 40, no.3 / 4:

http://www.haworthpress.com/store/E-Text/View_EText.asp?sid=DGF89H49EV9L8NVA3A9KR5K2UNX6C2W2&a=3&s=J104&v=40&i=3%2F4&fn=J104v40n03%5F08

The Library of Congress has developed extensive documentation describing the crosswalk from Dublin Core to MARC 21.

<http://www.loc.gov/marc/dccross.html>

3.3 Non-MARC Records Created Using MODS, XML, HTML, EXCEL, ETC.

It is highly recommended that vendors first become familiar with the general guiding principles and best practices set forth by the Library of Congress, the Digital Library Federation (DLF) and the National Science Digital Library (NSDL):

<http://www.loc.gov/standards/mods/>
<http://oai-best.comm.nsdlib.org/cgi-bin/wiki.pl?PublicTOC>
http://www.diglib.org/aquifer/DLF_MODS_ImpGuidelines_ver4.pdf

As long as the bibliographic description is coded consistently in tab-delimited files, vendors may use in-house programming (or ask a library partner for assistance) to create MARC records. Many library systems offices can convert properly constructed Excel spreadsheets into MARC records. Columbia University, for example, uses PERL and MARC-related PERL modules to generate MARC records from user input. The Program for Cooperative Cataloging can be consulted on use of this and other freely available programs.

4. MARC Data Specifications

For reference the MARC Standards website should be consulted.

<http://www.loc.gov/marc/>

4.1 MARC Data Elements for Born Digital or Electronic Editions

Use in Vendor Action column is for 'Born Digital' bibliographic description.

Supply in Vendor Action column is for 'Electronic Edition' bibliographic description.

M=Mandatory A=Mandatory if Applicable O = Optional

MARC tag#	Byte[s]	Sub-field	Name	Value	m/a/o	Vendor Action
Leader	06		Type of Record	a	M	Use/Supply.
Leader	07		Bibliographic Level	m	M	Use/Supply
Leader	17		Encoding Level	3		Use/Supply.
Leader	18		Descriptive Cataloging Form	u	M	Use for Born Digital. Supply for Electronic Edition.
001			Control Number		M	Use/Supply Unique Alpha/numeric or Number Control Number. Do Not Reuse an Existing Control Number, Even if it is for the Source in Another Format.
003			Control Number Identifier		M	Use/Supply; Presence of an Identifier Guarantees Uniqueness of Control Number.
006			Additional Material Characteristics			Use Fill Characters Except for Bytes Specified Below. Supply Bytes from Copy Except Bytes Specified Below.
	00		Form of Material	m	M	Supply.
	09		Type of Computer File	d	M	Supply.
007			Physical Description Fixed Field			Use Fill Characters Except for Bytes Specified Below. Supply Bytes from Copy Except Bytes Specified Below.
	00		Category of Material (Computer File)	c	M	Supply.
	01		Specific Material Designation (Computer File)	r	M	Supply.

	04		Dimensions	n	M	Supply
008			Fixed Field Data Elements			Use Fill Characters Except for Bytes Specified Below. Supply Bytes from Copy Except Bytes Specified Below.
	06		Type of Date/Publication Status	s = single date ---- m = multiple dates	M	Supply.
	07-10		Date 1	[actual date]	M	Use/Supply.
	11-14		Date 2	[actual ending date]	A	Use/Supply if Applicable.
	15-17		Place of Publication		M	Use Code From MARC Country Code List [http://www.loc.gov/marc/countries/cou_home.html] Supply Code From Copy.
	23		Type of Item	s	M	Use/Supply.
	35-37		Language	[varies]	M	Use Code From MARC Language Code List. [http://www.loc.gov/marc/languages/langhome.html] Supply Code From Copy.
	39		Cataloging Source	d	M	
0XX			Variable fields			Use Fill Characters Except for Bytes Specified Below. Supply Bytes from Copy Except Bytes Specified Below. Do Not Retain From Copy Unless Specified Below.
020			Electronic ISBN		A	Use Electronic-ISBN. Supply Electronic-ISBN. Move ISBN Belonging to Source to the 776 \$ z.
040			Vendor NUC code		M	
041			Language Code		O	Use Code From MARC Language Code List. [http://www.loc.gov/marc/languages/langhome.html] Supply From Copy.

043			Geographic Area Code		O	Use Code From MARC Geographic Code List [http://www.loc.gov/marc/geoareas/] Supply Code From Copy.
050 4		\$a	Library of Congress Classification Number		O	Use Classification Number and Book Number From LC Classification Schedules. Supply LC Classification Number and Book Number From Copy.
1XX			Personal or Corporate Author		A	Use LC Name Authority File to Establish Personal/Corporate Names. [http://authorities.loc.gov/] Supply Personal/Corporate Names From Copy. Strongly encourage Verifying Names in LC Name Authority File.
240			Uniform Title	[varies]	O	Strongly encouraged; use LC Authority file [or work with cataloging partner] to establish this field.
245			Title		M	Use Title From Source Being Described. Supply From Copy.
245		\$h	Medium	[Electronic resource]	M	Use Following \$a, \$n and \$p if present. Supply Following \$a, \$n and \$p if present.
246			Varying Forms of Title		A	Use if Important For Access. Supply From Copy.
250			Edition Statement		O	Use/Supply From Source Being Described.
260			Place of Publication & Publisher/distributor Name		O	Use Place of Publication and Publisher Name From Source. Supply From Copy.
300			Physical Description	HTML: 1 electronic text : HTML file ---- PDF: <no. of pages> p. : digital, PDF file	O	
4XX			Series statement		O	Applies Only to Series that are on the Edition/source Being Described.

5XX			Notes		M	Use Fields Specified Below. Supply From Copy Except as Specified Below.
538			System Details Note	Mode of Access: World Wide Web.	O	Use/Supply: Specialized System Requirements e.g., Internet Connectivity with Minimum 56 KBPS Bandwidth;...Must Have Port 1755 Open; Proxy Servers...
506			Restrictions on Access Note		A	Vendor Can Offer to Put Restrictions on Access Information in 506, or in 856\$, or in Both Fields.
530			Additional Physical Format Available	Also Issued in Print.	O	Use/Supply Appropriate Format if Applicable.
534			Original Version Note		A	Use/Supply Vendor Supplies When the Intent is to Provide a Satisfactory Substitute for the Original Version.
540			Terms Governing Use		O	
550			Issuing Body Note	Digitized and Made Available by...	O	For Non-Commercial entities or agencies. Commercial Publishers Use 500 Field.
6XX			Subject Headings or Keywords		A	Use Terms From LCSH. Supply Terms From Copy; Prefer Terms From LCSH; if LCSH Terms Not Possible Put Keywords in 653.
655 0			Genre/form Term		O	Library Specific Term; Consult With Customer.
7XX other added entries			Gathering Aggregation Bibliographic Records.		O	Library Specific Field Used to Gather Aggregation Bibliographic Records. Consult With Customer.
830			Series Statement		O	Use if Form of Series in LC Authority File is Different From the Series Statement transcribed in the 490 1 field.
830			Aggregation Name		M	Vendor supply.

85640			Electronic Location & Access		M	Use Vendor URL as 85640. Supply Vendor URL as 85640; Delete Inapplicable URLs From Copy.
		\$z	Restrictions on Access Note		A	Vendor Can Offer to Put Restrictions on Access Information in 506, or in 856\$z, or in Both Fields.

4.2 MARC Data Elements for Records for a Reproductions, Created from MARC Bibliographic Records for the Original

The following fields should be copied from a “source” MARC record for the print, microform, or the CD-ROM version of the title:

leader*, 003, 008*, 010*, 013, 015, 016, 017, 018, 020*, 024, 025, 026, 027, 028, 030, 032, 033, 035, 040*, 041, 043, 044, 045, 046, 050*, 052, 055, 060, 066, 070, 072, 074, 080, 082, 084, 086, 088, 100, 110, 111, 240, 245*, 246, 250, 260, 300, 440, 490, 500, 501, 502, 504, 505, 513, 520, 521, 522, 526, 536, 546, 585, 586, 600, 610, 611, 630, 650, 651, 700, 710, 711, 730, 740, 800, 810, 811, 830.

*Tags with an asterisk are also included in the table below.

Supply in Vendor Action Column is for Bibliographic Description of Reproduction.
Retain in Vendor Action Column is Data to be Kept From Source Bibliographic Description of Reproduction.

Move in Vendor Action Column is Data to be Moved to Another Field in Bibliographic Description of Reproduction.

Fields for Vendor Additions or Modifications

M=Mandatory A=Mandatory if Applicable O = Optional

MARC tags	Byte[s]	Sub-field	Name	Value	m/a/o	Vendor Action
Leader	17		Encoding Level	3	M	Supply.
001			Control Number		M	Supply Alpha/numeric or Numeric Control Number.
006			Additional Material Characteristics		M	Use Fill Characters Except for Bytes Specified Below.
	00		Form of Material	m	M	Supply.
	09		Type of Computer File	d	M	Supply.

007			Physical Description Fixed Field		M	Supply From Copy, Except for Bytes Specified Below.
	00		Category of Material (Computer File)	c	M	Supply.
	01		Specific Material Designation (Computer File)	r	M	Supply.
	04		Dimensions	n	M	Supply
008			Fixed Field Codes.		M	Supply all Codes Except Bytes Specified Below.
	23		Form of Item	s	M	Supply.
	39		Cataloging Source	d	M	Supply.
010			LCCN			Move LCCN to 776 \$w(DLC)
020			electronic ISBN		A	Move Source ISBN to 776 \$z.
040			Cataloging Source	d	M	Retain 040\$a From Copy; Insert Vendor NUC Code in \$d.
050 4			Library of Congress Classification Number		O	Supply LC Classification and Book Number From Copy.
245		\$h	Medium	[Electronic resource]	M	Remove Pre-existing \$h if it Refers to Another Format. Supply \$h Following \$a (or \$n or \$p if They Exist)
5XX			Notes		M	Retain From Copy; Supply Fields Specified Below.
538			System Detail Note	Mode of Access: World Wide Web	O	Use/Supply: Specialized System Requirements, e.g. Internet Connectivity with Minimum 56 KBPS Bandwidth. Must Have Port 1755 Open; Proxy Servers...
506			Restrictions on Access Note		A	Vendor Can Offer to Put Restrictions to Access Information in 506, or in 85640\$z or in Both Fields.
530			Additional Physical Format Available	Also Issued in Print.	O	Supply Appropriate Format.

533		\$a	Type of Reproduction	Electronic Reproduction	M	Supply.
533		\$b	Place of Publication		M	Supply.
533		\$c	Agency Responsible for Reproduction		A	
533		\$d	Date of Reproduction		A	
533		\$f	Series Statement of Reproduction		A	Also Add the Series in the 830 Field.
533		\$n	Note about Reproduction		O	
540			Terms Governing Use		O	Vendor Terms Governing Use of Materials After Access is Provided.
655 0			Genre/Form Term		O	Library Specific Term; Consult With Customer.
7XX			Gathering Point		O	Use for Collocation Purposes. Field Consists of One Heading Which is the Same in Each Record in the Aggregator Package. Use 710 for Official Name of Database. Use 793 for Local Name of Database.
776			Additional Physical Form Entry		A	
		\$a	Author		A	
		\$t	Title		A	
		\$c	Original Format		A	
776		\$z	ISBN of Original		O	
776		\$w	Control Number of Original		O	

830			Series			Supply Series From 533 \$f.
85640			Electronic Location & Access		M	Delete Inapplicable URLs From Copy; Supply Vendor URL.
		\$z	Restrictions on Access		A	Vendor Can Offer to Put Restrictions on Access Information in 506, or in 856\$fz, or in Both Fields.

5. Tips for Vendors

- In leader byte 17, use encoding level “3”. This value makes it clear to customers that the records are not full catalog records. The encoding level could also be used by customers to identify records for in-house upgrade.
- Use leader byte 18, use value “u” (descriptive catalog form unknown) unless it is known that AACR (*Anglo-American Cataloguing Rules*) has been used (in which case, use value “a”).
- Information about access restrictions may be recorded either in a 506 field or in field 856, subfield “z” access restrictions. Variations exist in library practices and public catalog displays. Example: 856 \$z Access restricted to [Library XYZ]; authentication may be required \$u http://...
- Your U.S. library customers value MARC records that have headings (such as author’s names or subject terms) in a form that corresponds with the forms “established” by the Library of Congress. This will make the headings on your records consistent with the headings on records for other titles that a library may already have in its catalog. A good practice would be to either pre-process the bibliographic records by an authority control vendor (preferred) or to search the Library of Congress Authorities (freely available at <http://authorities.loc.gov>) for established headings. Examples of authority control vendors are Library Technologies, Inc. at (<http://www.authoritycontrol.com/>) and Backstage (http://www.bslw.com/authority_control.html)
- Your aggregation should be identified in an appropriate field on each record. For example, consider putting the established form of your firm’s name in a 710 field (Added Entry—Corporate Name), and a consistent form of the aggregation name in field 830 (Series Added Entry—Uniform Title). A PCC member library could establish the heading for your firm in Library of Congress Authorities if it is not already present.

- Include provision for a unique record identifier for each record. This will make it easier for your library customers to load, update, or, if necessary, remove your records from their catalogs. Use an 001 field (if from the unique number of that record in your own system) or a “9XX” (locally defined) field for this purpose.
- Use tools such as *Classification Web* to provide a classification (“call”) number. Access to *Classification Web* can be leased from the Library of Congress Catalog Distribution Service for a specified amount of time; see <http://www.loc.gov/cds/classweb/>. A classification number consists of the alpha-numeric portion of a call number intended to bring together all resources with the same subject. A complete call number contains the classification number plus another segment pertaining to the last name of the author (or title, if no author exists). Example: QC 854 is the classification number for a dictionary of meteorology. QC 854 .H37 1999 is the complete call number for a particular work—in this case a meteorology dictionary by Kate Harcourt.
- In order to obtain records that can be modified to describe the titles in your aggregation, consider harvesting records from the Library of Congress catalog using either Z39.50 protocol, or arrange to purchase records from the Library of Congress Cataloging Distribution Service (<http://www.loc.gov/cds/index.html>).

6. Template

The following template can be used to create new MARC records at three levels of completeness: basic, more complete, and most complete. Elements required for a basic record are shown in black. Elements required for a more complete record are shown in blue. Elements required for a record qualifying as “most complete” are shown in green.

The template is only a rough guide to MARC record creation. For additional necessary information, see MARC21 Concise Format for Bibliographic Data, <http://www.loc.gov/marc/bibliographic/ecbdhome.html>.

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MARC Leader #####nam 22#####3i 45e0
001 control number
006 m d
007 cr n
008 050222s2005 xxu s 000 0 eng d
040 <vendor NUC code> $c <vendor NUC code>
050 4 <Library of Congress classification number>
060 4 <National Library of Medicine classification number>
082 04 <Dewey Decimal classification number>
100 1 <Last name, First name>.
240 10 <Uniform title (if applicable)> .
245 10 <Main title> $h[electronic resource] : $b <subtitle> / $c <author's name (in direct order)> .
250 <Edition statement (if applicable)> .
260 <Place of publication of electronic version> : $b <Publisher of electronic version,> $c <date of publication of the electronic version>.
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538 Mode of access: World Wide Web.
500 Title from <place where title is recorded if not traditional title page>.
500 <Description of differences from the original (if appropriate)>.
520 <Summary or abstract>.
534 Transcribed from: \$a <Author of original>. \$t <Title of original>. \$c <Place of publication of original :
Publisher of original, date of publication of original>. \$e <Pagination of original>.
600 x0 <Subject added entry, personal name, as verified in Library of Congress Authorities>.
610 x0 <Subject added entry, corporate name, as verified in Library of Congress Authorities>.
611 x0 <Subject added entry, meeting name, as verified in Library of Congress Authorities>.
630 x0 <Subject added entry, uniform title, as verified in Library of Congress Authorities>.
650 x0 <Subject added entry, topical term, as verified in Library of Congress Authorities>.
650 x0 <Subject added entry, geographic name, as verified in Library of Congress Authorities>.
653 <Uncontrolled subject term – use at “more complete” level only>
710 2 <Your firm’s name>.
7XX <Other appropriate name/title headings>.
776 <Information about additional physical forms>
830 <Title of your aggregation>
856 40 \$z Access restricted; authentication may be required \$u <URL for database (or individual resource)>

7. Partners and Other Ways of Creating Records

Vendors are strongly encouraged to partner with an experienced catalog librarian to create record specifications for monographs/books in an aggregation, or to assist in mapping bibliographic description to MARC. Vendors that do not choose to partner with an experienced cataloger may seek advice from the Program for Cooperative Cataloging before creating record sets.